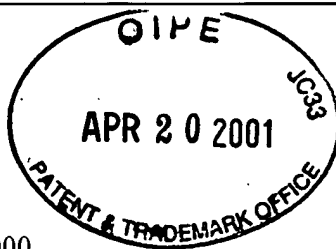


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

<p>In re Application of Devaux et al. Serial No.: 09/698,705 Filed: October 27, 2000 For: ANTI-TUMOR ANTIBODY COMPOSITIONS AND METHODS OF USE</p>	<p>Group Art Unit: 1632 Examiner: To be assigned</p> <p><b>CERTIFICATE OF MAILING</b> I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner of Patents, Washington, D.C. 20231 on April 18, 2001 <i>Janet Tse</i> Janet Tse</p>
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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

Applicants submit herewith patents, publications or other information (attached hereto and listed on the attached revised Form PTO-1449) of which they are aware, which they believe may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR §1.56.

This Information Disclosure Statement is filed in accordance with the provisions of:

☒ **37 CFR §1.97(b)**

- within three months of the filing date of the application other than a continued prosecution application under 37 CFR §1.53(d); or
- within three months of the date of entry of the national stage of a PCT application as set forth in 37 CFR §1.491, or
- before the mailing of the first Office action on the merits; or
- before the mailing of the first Office action after the filing of a request for a continued examination under 37 CFR §1.114.

☐ **37 CFR §1.97(c)**

- by the applicant after the period specified in 37 CFR §1.97(b), but prior to the mailing date of any of a final action under 37 CFR §1.113, or a notice of allowance under 37 CFR §1.311, or an action that otherwise closes prosecution in the application, and is accompanied by either the fee set forth in 37 CFR §1.17(p) or a statement as specified in 37 CFR §1.97(e), as checked below.

☐ **37 CFR §1.97(d)**

- after the period specified in CFR §1.97(c), and is accompanied by the fee set forth in 37

CFR §1.17(p) and a statement as specified in 37 CFR §1.97(e), as checked below.

[If either of boxes 37 CFR §1.97(c) or 37 CFR §1.97(d) is checked above, the following statement under 37 CFR §1.97(e) may need to be completed.]

- ☐ **37 CFR §1.97(e)** Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement.
- ☐ **37 CFR §1.704(d)** Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application and the communication was not received by any individual designated in §1.56(c) more than thirty days prior to the filing of this information disclosure statement. Therefore, in accordance with the provisions of 37 CFR §1.704(d), the filing of this information disclosure statement will not be considered a failure to engage in reasonable efforts to conclude prosecution under 37 CFR §1.704.
- ☐ The U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p). Any deficiency or overpayment should be charged or credited to this deposit account.

A list of the patent(s) or publication(s) is set forth on the attached revised Form PTO-1449 (Modified).

A copy of the items on PTO-1449 is supplied herewith.

Those patent(s) or publication(s) which are marked with an asterisk (\*) in the attached PTO-1449 form are not supplied because they were previously cited by or submitted to the Office in a prior application Serial No., filed and relied upon in this application for an earlier filing date under 35 USC §120.

A concise explanation of relevance of the items listed on PTO-1449 is:

☒ not given

☐ given for each listed item

☐ given for only non-English language listed item(s) [Required]

☐ in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references.

In accordance with 37 CFR §1.97(g), the filing of this information disclosure statement shall not be construed as a representation that a search has been made.

In accordance with 37 CFR §1.97(h), the filing of this information disclosure statement shall not be construed to be an admission that the information cited in the statement is, or is considered to be, material to patentability as defined in 37 CFR § 1.56(b).

In the event that the Office determines a fee to be due where none is specifically authorized in this paper, the U.S. Patent and Trademark Office is hereby authorized to charge Deposit Account No. 07-0630 in the amount of \$180.00 to cover the cost of this Information Disclosure Statement under 37 CFR §1.17(p).

Respectfully submitted,

GENENTECH, INC.

Date: April 17, 2001

By: Lee Tan

Lee K. Tan

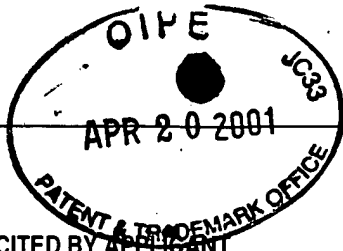
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PATENT TRADEMARK OFFICE



FORM PTO-1449

U.S. Dept. of Commerce  
Patent and Trademark Office

Atty Docket No.

P1777R1

Serial No.

09/698,705

Applicant

Devaux et al.

Filing Date

27 Oct 2000

Group

1632

## LIST OF DISCLOSURES CITED BY APPLICANT

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Name	Class	Subclass	Filing Date
	1	5,208,020	04.05.93	Chari et al.			
	2	5,416,064	16.05.95	Chari et al.			
	3	5,648,237	15.07.97	Carter, P.			
	4	5,789,199	04.08.98	Joly et al.			
	5	5,840,523	24.11.98	Simmons et al.			
	6	5,856,136	05.01.99	Au-Young, J.			

## FOREIGN PATENT DOCUMENTS

Examiner Initials		Document Number	Date	Country	Class	Subclass	Translation Yes No
	7	425,235 B1	25.09.96	EPO			
	8	WO 00/32752	08.06.00	PCT			
	9	WO 98/00540	08.01.98	PCT			
	10	WO 98/40403	17.09.98	PCT			
	11 ✓	WO 98/51805	19.11.98	PCT			
	12 ✓	WO 98/51824	19.11.98	PCT			
	13 ✓	WO 99/14328 ✓	25.03.99	PCT			

## OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages, etc.)

	14	Bahrenberg et al., "Reduced Expression of PSCA, a Member of the LY-6 Family of Cell Surface Antigens, in Bladder, Esophagus, and Stomach Tumors" <u>Biochemical and Biophysical Research Communications</u> 275:783-788 (2000)
	15	Dannull et al., "Prostate Stem Cell Antigen Is a Promising Candidate for Immunotherapy of Advanced Prostate Cancer" <u>Cancer Research</u> 60:5222-5528 (2000)
	16	Gingrich et al., "Pathologic progression of autochthonous prostate cancer in the TRAMP model" <u>Prostate Cancer and Prostatic Diseases</u> 2:70-75 (1999)
	17	Greenberg et al., "Prostate cancer in a transgenic mouse" <u>Proc. Natl. Acad. Sci. USA</u> 92:3439-3443 (1995)
	18	Gu et al., "Prostate stem cell antigen (PSCA) expression increases with high gleason score, advanced stage and bone metastasis in prostate cancer" <u>Oncogene</u> 19:1288-1296 (2000)
	19	Liu et al., "Eradication of large colon tumor xenografts by targeted delivery of maytansinoids" <u>Proc. Natl. Acad. Sci. USA</u> 93:8618-8623 (1996)
	20	Reiter et al., "Prostate stem cell antigen: a cell surface marker overexpressed in prostate cancer" <u>Proc. Natl. Acad. Sci. USA</u> 95(4):1735-1740 (Feb 17, 1998)

Examiner

Date Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.